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FY03 Urban Areas Security Initiative - Part II

Grant Guide for Local Governments

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Foreword

As many of you know, since the tragic events of September 11, the state and its first responders have spent millions of dollars securing the state. Critical infrastructure sites have been hardened with additional layers of security. Local and state entities have worked overtime to increase patrols and monitor vital assets, and emergency response officials have coordinated planning and training efforts.

This threat of terrorism and its consequences to the state as a whole have resulted in Governor Gray Davis' creation of a California Office of Homeland Security (OHS). The mission of the new OHS is to increase the capabilities and improve the capacity of all first responder agencies at every level of government. To that end, all federal homeland security grant funds provided to California will be distributed by OHS with the assistance of the California Office of Emergency Services.

In June 2003, the federal government announced that financial assistance would be provided to five California urban areas for a total of \$62,202,490 under the FY 03 Urban Area Security Initiative Part II grant program (FY03 UASI II). These funds are being provided to address the unique equipment, training, planning and exercise needs of large, high-threat urban areas. Additionally, program activities must involve coordination by the identified core city, core county/counties, and the respective state administrative agency. In California, OHS is the state administrative agency for these grants.

OHS is releasing the following Grant Guide for Local Governments to fully explain the grant application and performance process. In addition, should you need assistance, we have dedicated staff at the Office of Emergency Services who will be available to provide guidance. You can reach OES' Grant Management Section at (916) 845-8110, or send an e-mail to Grant.Management@OES.CA.GOV.

I look forward to working with you on this grant. Through our combined efforts, the State of California and local emergency response agencies will be better prepared to respond to any event.

GEORGE VINSON
Director, California Office of Homeland Security

Part One – Grant Overview

Purpose The United States Department of Homeland Security (DHS), through the Office for Domestic Preparedness (ODP), is providing supplemental financial assistance under the FY 03 Urban Areas Security Initiative (FY03 UASI II), for five urban areas within California. These funds may be used for:

- assessments and security strategies
- unique equipment, training, planning, exercise and operational needs
- the building of an enhanced and sustainable capacity to prevent, respond to, and recover from threats or acts of terrorism

ODP also recognizes that implementing the overall FY03 UASI II grant is not without cost. To assist with this process, up to 3% of the grant award may be used by urban areas for administrative costs to pay for activities associated with the implementation of the overall grant.

Performance Period The performance period for the FY03 UASI II grant will be identified on the *Notification of Grant Application Approval* letter.

Matching Requirements There are no cost-share or match requirements associated with this grant. ***This program is 100 percent federally funded.***

Eligible Jurisdictions and Allocations California has been allocated a total of \$62,202,490 to be distributed to the following “core cities”:

- City of Los Angeles may receive up to \$18,874,838
 - City of San Francisco may receive up to \$18,587,312
 - City of San Diego may receive up to \$11,359,682
 - City of Sacramento may receive up to \$6,912,795
 - City of Long Beach may receive up to \$6,467,863
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Part One – Grant Overview, Continued

Initial Allocation (Phase 1)

Core cities may request up to 25% of their maximum allocation to cover expenses associated with:

- conducting an urban area assessment
- developing an urban areas homeland security strategy
- managing and administering the FY03 UASI II grant
- resourcing immediate needs for activities associated with planning, training, equipment, exercises and operational activities

This request can be made with the submission of a complete application package as described in Part 2 of this guide.

Remaining Allocation (Phase 2)

Funding not requested in the Initial Allocation (Phase 1) can be awarded after core cities submit the following documents to the California Office of Homeland Security (OHS), c/o Office of Emergency Management (OES) Grant Management:

- urban area assessment
- urban area homeland security strategy
- budget detail worksheets providing a spending plan for the remaining allocation (Phase 2)

Phase 2 application forms and instructions will be released under separate cover. Phase 2 funds can be used for activities associated with planning, training, equipment, exercises and operational activities.

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Part One – Grant Overview, Continued

Expenditure Overview

FY03 UASI II grant funds may be used for:

- activities associated with the completion of the urban area assessment, development of the urban area homeland security strategy, and other planning activities
- the acquisition of eligible equipment
- the development of an urban area homeland security training program or the delivery of existing ODP courses
- planning, designing, developing, conducting, and evaluating exercises that train emergency responders and assess the readiness of urban areas to prevent and respond to a terrorist attack
- administrative costs associated with the implementation of this grant
- operations expenses, including overtime costs for personnel, and costs associated with increased security measures at critical infrastructure sites incurred during specific ORANGE threat alert levels

At the discretion of the Urban Area Working Group (defined in Part 2 of this Guide), FY03 UASI II funds may be utilized for any of the eligible activities.

Planning Expenditures

Funds may be used to pay for activities associated with the completion of the urban area assessment, development of the urban area homeland security strategy, and other planning activities, including:

- conducting training sessions to ensure accurate completion of the assessment
 - implementing and managing sustainable programs for equipment acquisition, training and exercises
 - enhancement or establishment of mutual aid agreements
 - enhancement or development of emergency operations plans and operating procedures
 - development or enhancement of recovery plans
 - development of communication and interoperability protocols and solutions
 - coordination of citizen and family preparedness plans and programs, including donations programs and volunteer initiatives
 - enhancement or development of continuity of operations and continuity of government plans
 - hiring of full or part-time staff or contractors/consultants to assist with any of the above activities
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Part One – Grant Overview, Continued

Equipment Expenditures

Funds may be used to enhance the capabilities of local prevention and emergency response agencies through the acquisition of:

- personal protective equipment (PPE)
- explosive device mitigation and remediation equipment
- chemical, biological, radiological, nuclear and explosives (CBRNE) search and rescue equipment
- interoperable communications equipment
- detection equipment
- decontamination equipment
- physical security enhancement equipment
- terrorism incident prevention equipment
- CBRNE logistical support equipment
- CBRNE incident response vehicles
- medical supplies and limited types of pharmaceuticals
- CBRNE reference materials

This equipment may be used by the urban areas to enhance capabilities in the areas of law enforcement, emergency medical services, emergency management, the fire service, hazardous materials, public works, governmental administrative, public safety communications, healthcare and public health at the local levels of government in accordance with the goals and objectives identified in their jurisdictional assessment.

These funds may also be used for:

- Sustainment of prevention and response equipment that would be used in a jurisdiction's response to a terrorist threat or event, including repair and replacement parts, equipment warranties and maintenance contracts for equipment purchased under any ODP grant.
- Measures associated with target hardening and critical infrastructure security, including equipment purchases.
- Training in the use of equipment procured using these grant funds.

Sustainment, maintenance, and training in the use of equipment procured using these grant funds should be addressed in the urban area homeland security strategy.

Appendix A, "Authorized Equipment Purchases and Sample Price List" contains a complete list of authorized equipment that may be purchased with FY03 UASI II funds. The Appendix also contains sample prices that can be used to estimate the equipment costs.

All equipment acquired under this grant must be made available for mutual aid, as set forth in the "Governing Body Resolution" that is signed and returned as part of the FY03 UASI II Phase 1 application.

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Part One – Grant Overview, Continued

Training Expenditures

Funds may be used to enhance the capabilities of local prevention and response agencies through the development of an urban area homeland security training program or the delivery of existing ODP courses. Allowable expenditures include:

- Development and/or establishment of CBRNE prevention and response training courses, which should be institutionalized within existing training academies, universities or junior colleges. These courses must be consistent with ODP prevention and response training guidelines and reviewed and approved by ODP.
- Backfill costs to replace personnel who are attending ODP approved courses.
- Overtime costs for responders who attend ODP approved training courses.
- Travel costs associated with planning or attending ODP approved training.

As part of the overall urban area homeland security strategy, jurisdictions within an urban area should work together to develop and implement a sustainable system for maintaining and perpetuating training within all response disciplines.

The target audience for training courses funded through the FY03 UASI II grant must be emergency responders, emergency managers and public/elected officials within the following disciplines:

- fire fighting
- law enforcement
- emergency management
- emergency medical services
- hazardous materials
- public works
- public health
- health care
- public safety communications
- governmental administrative
- private security

OHS encourages urban areas to adopt current ODP training programs and aggressively provide awareness training to area emergency responders. ODP's WMD Training Course Catalogue is located at:

<http://www.ojp.usdoj.gov/odp>

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Part One – Grant Overview, Continued

Exercise Expenditures

Exercise funds may be used to plan for, design, develop, conduct, and evaluate exercises that train emergency responders and assess the readiness of urban areas to prevent and respond to a terrorist attack. Exercises must be threat- and performance-based, in accordance with ODPs Homeland Security Exercise and Evaluation Program (HSEEP) manuals. These manuals will provide explicit direction on the design, conduct, management and evaluation of terrorism exercises.

OHS, in conjunction with ODP, will work with urban areas to build a tailored exercise program. The urban areas should consider using a portion of the grant funds to convene a multi-disciplinary, multi-jurisdictional exercise-planning workshop. The jurisdictions within each urban area should also work together to establish a sustained, multi-jurisdictional cycle of exercise activities as part of the overall Urban Area Homeland Security Strategy.

Allowable exercise-related costs include:

- expenses related to convening an exercise planning workshop
- hiring of full or part-time staff or contractors/consultants to support exercise activities
- overtime for first response/exercise management personnel involved in the planning and conducting of exercises
- travel associated with planning and conducting exercises
- supplies consumed during the course of planning and conducting exercises
- costs related to the implementation of the HSEEP to include the reporting of scheduled exercises, and the tracking and reporting of after action reports and corrective actions from exercises
- other costs related to the planning and conducting of exercise activities

If an urban area anticipates participating in future national-level exercises or activities, such as the Top Officials (TOPOFF) national exercise series, or has planned National Security Special Events (NSSE) for which exercises and other preparatory activities may be required, it should factor these costs into its urban area homeland security strategy and budget funds accordingly.

Appendix B, “Allowable Exercise Costs” contains a complete description of allowable exercise-related activities.

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Part One – Grant Overview, Continued

Management and Administration Expenditures

Up to 3% of the grant award may be used by urban areas for administrative costs to pay for activities associated with the implementation of the overall FY03 UASI II grant, including:

- hiring of full or part-time staff or contractors/consultants to assist with the collection of the assessment data
 - travel expenses
 - meeting-related expenses (For a complete list of allowable meeting-related expenses, please review the OJP Office of the Comptroller (OC) Financial Guide at: <http://www.ojp.usdoj.gov/FinGuide>)
 - conducting local program implementation meetings
 - hiring of full or part-time staff or contractors/consultants to assist with the implementation and administration of the jurisdictional assessment
 - the acquisition of authorized office equipment. (Note: Authorized office equipment includes personal computers, laptop computers, printers, LCD projectors and other equipment or software which may be required to support implementation of the jurisdiction assessment.)
-

Operational Activities Expenditures

Urban areas may use up to 25% of the gross amount of their award to reimburse for operational expenses, including overtime costs for personnel and costs associated with increased security measures at critical infrastructure sites incurred during the following three ORANGE threat alert levels:

1. beginning on February 7, 2003 and ending on February 27, 2003
2. beginning on March 17, 2003 and ending on April 16, 2003**
3. beginning on May 20, 2003 and ending on May 30, 2003

**Cities that have previously requested Critical Infrastructure Protection funding under FY03 State Homeland Security Grant Program, Part II, may not also request funding for these same costs under this grant program.

Critical infrastructure is defined by ODP as, “any system or asset that if attacked would result in catastrophic loss of life and/or catastrophic economic loss.” By way of illustration, such systems or assets include, but are not limited to:

- public water systems serving large population centers
 - major petroleum handling facilities such as pipeline, ports, refineries and terminals
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Part One – Grant Overview, Continued

Unauthorized Grant Expenditures

Unauthorized grant expenditures include:

- expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general use computers and related equipment, general-use vehicles, licensing fees, weapons systems and ammunition
- activities unrelated to the completion and implementation of the FY03 UASI II grant
- equipment purchases not in accordance with the Authorized Equipment List in Appendix A
- construction or renovation of facilities
- other items not previously listed as allowable costs

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Part One – Grant Overview, Continued

Core City Responsibilities

The core city responsibilities include:

1. Submit timely Phase 1 and Phase 2 applications to OHS, c/o OES Grant Management.
2. Comply with all assurances and certifications contained in the Grant Assurances submitted with the FY03 UASI II Phase 1 application.
3. If required, submit an Equal Employment Opportunity Plan (EEOP) to the DOJ Office of Civil Rights (OCR) in accordance with the OCR letter dated July 29, 2002 (Appendix E), with a copy of the cover letter to OES.
4. Maintain an equipment tracking system that includes the components identified in Title 28, Code of Federal Regulations (CFR), Parts 66.32 and 66.33, and DOJ Financial Guide Part III, Chapter 6.
5. Conduct threat- and performance-based exercises in accordance with ODP's Homeland Security Exercise and Evaluation Program (HSEEP) manuals.
6. Prepare After Action Reports (AARs) and Corrective Action Plans (CAPs) for each exercise conducted with ODP support (grant funds or direct support).
7. Prepare quarterly reports for the duration of the grant period. Further reporting details are included in Part Three of this guide – Grant Performance – “Quarterly Reports”.
8. Maintain financial management systems that support grant activities in accordance with 28 CFR Part 66.20, and DOJ Financial Guide, Part II, Chapter 3.
9. If changes are required after the initial grant approval, submit revision requests to OHS, c/o OES Grant Management, prior to incurring the associated expenditures. Further details are included in Part Three of this guide – Grant Performance – “Revision Requests”.
10. When all grant activities are completed, the core city will notify OHS, c/o OES Grant Management, in writing, within 30 days and request grant closeout.
11. Submit Final Grant Report and remit unexpended grant funds.
12. Maintain property, programmatic and financial records in accordance with the grant record retention requirements. Further details are contained in Part One of this guide – Grant Overview – Record Retention Requirements.
13. Comply with the audit requirements contained in Office of Management and Budget (OMB) Circular A-133, and Title 28 Code of Federal Regulations, Part 66.26.

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Part One – Grant Overview, Continued

National Incident Management System and Incident Command System

ODP encourages urban areas receiving funding under the FY03 UASI II grant to begin utilizing the National Incident Management System (NIMS) concepts, principles, terminology, and technologies, as they are made available by DHS. Beginning in FY 2005, adoption of NIMS will be a requirement for receipt of ODP grant funds.

Additionally, jurisdictions and agencies should institutionalize the use of the Incident Command System (ICS) as taught by ODP or the National Fire Academy across their entire response system by the end of the two-year performance period.

Interest Earnings

In accordance with Title 28, Code of Federal Regulations, Part 66.21, and DOJ Financial Guide, Part III, Chapter 1, any interest earned, in excess of \$100 per federal fiscal year, must be remitted quarterly to:

United States Department of Health and Human Services
Division of Payment Management Services
P.O. Box 6021
Rockville, MD 20852

NOTE: The transmittal letter included with the check should indicate that the core city is returning interest earned on FY03 UASI II funds.

A copy of the transmittal letter should be sent to:

Office of Homeland Security
c/o Governor's Office of Emergency Services
Attn: Accounting Office/Federal Unit
P.O. Box 419047
Rancho Cordova, CA 95742-9047

Additionally, interest earnings must be reported on the quarterly report the core city submits to OHS.

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Part One – Grant Overview, Continued

Procurement Requirements

Core cities must follow their own procurement requirements as long as they meet the federal requirements at a minimum. Federal procurement requirements for this grant can be found in:

- OMB Circular A-102
 - Title 28, CFR, Part 66.36
 - DOJ Financial Guide, Part III, Chapter 10
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Record Retention Requirements

Record retention requirements differ for property records vs. all other grant records. Refer to the following for specific requirements:

- Title 28, CFR, Part 66.42
- DOJ Financial Guide, Part III, Chapters 6 and 12

In the Grant Closeout letter, OHS will notify the core city of the start of the record retention period for programmatic and financial records.

Accessibility of Records

The DHS, the Office of Inspector General, the Comptroller General of the United States, OHS, OES, and any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records which are pertinent to the grant, in order to make audits, examinations, excerpts, and transcripts. The right of access is not limited to the required retention period but shall last as long as the records are retained. Refer to 28 CFR 66.42 and DOJ Financial Guide, Part III, Chapter 12.

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Part One – Grant Overview, Continued

Freedom of Information Act (FOIA)

OHS recognizes that much of the information submitted in the course of applying for funding under this program, or provided in the course of its grant management activities, may be considered law enforcement sensitive or otherwise important to national security interests. This may include threat, risk, and needs assessment information, and discussions of demographics, transportation, public works, and industrial and public health infrastructures. While this information is subject to requests made pursuant to the Freedom of Information Act, 5 U.S.C. Sect. 552 (FOIA), and California's Public Records Act, all determinations concerning the release of information of this nature will be made on a case-by-case basis by OHS, and may well likely fall within one or more of the available exemptions under the Act.

Core cities are also encouraged to consult their own local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process.

Duplication of Benefits

In no case is a duplication of benefits allowable. That is, a cost may not be reimbursed under more than one grant.

Suspension or Termination

OHS may suspend or terminate core city funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- failing to comply with the requirements or statutory objectives of federal or state law
- failing to make satisfactory progress toward the goals or objectives set forth in the core city's application
- failing to follow grant agreement requirements or special conditions
- proposing or implementing substantial changes to the extent that, if originally submitted, the application would not have been approved for funding
- failing to submit required reports
- filing a false certification in the application or other report or document

Before taking action, OHS will provide the core city with reasonable notice of intent to impose measures and will make efforts to resolve the problem informally.

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Part One – Grant Overview, Continued

Audit Requirements

Core cities must comply with the audit requirements contained in OMB Circular A-133 and Title 28, CFR, Part 66.26.

Applicable Laws, Regulations, and Guidance Documents

Urban areas should be familiar with the following laws, regulations and guidance documents that apply to this grant:

- Public Law (P.L.) 108-11, the Emergency Wartime Supplemental Appropriations Act, 2003
 - Office of Management and Budget (OMB) Circulars A-87, A-102, A-133 (www.whitehouse.gov/OMB/grants/index.html)
 - Title 28, Code of Federal Regulations (CFR) (www.access.gpo.gov/nara/cfr/cfrhtml_00/title28/28tab_00.html)
 - DOJ OJP Office of the Comptroller, *Financial Guide* (www.ojp.usdoj.gov/oc)
 - U.S. Department of Homeland Security, Office for Domestic Preparedness, *Urban Areas Security Initiative Grant Program II* (www.ojp.usdoj.gov/fundopps.htm)
 - ODP WMD Training Course Catalogue (<http://www.ojp.usdoj.gov/odp>)
 - DOJ Office for Civil Rights (www.ojp.usdoj.gov/ocr)
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Contact Information

OHS understands that core cities have limited time and resources available to apply for this grant. In order to facilitate this process, staff are available to provide technical assistance throughout the application and grant performance process. Contact OHS, c/o the Governor's Office of Emergency Services (OES) Grant Management Section at (916) 845-8110, or send an e-mail to Grant.Management@OES.ca.gov.

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Part One – Grant Overview, Continued

Grant Related Due Dates The grant related due dates are:

Due Date	Activity												
July 23, 2003	<p>Submit the completed Phase 1 application to:</p> <p>Office of Homeland Security c/o Governor's Office of Emergency Services Grant Management Section P. O. Box 419023 Rancho Cordova, CA 95741-9023</p> <p>The Governing Body Resolution and Grant Assurances do not have to be submitted with the application, however, no payments can be made to the core city until the Resolution and Assurances have been received by OES.</p>												
60 days from date on OHS application approval letter	Submit Equal Employment Opportunity Plan, if required, to the Department of Justice, Office of Civil Rights, with a copy of the cover letter to OHS, c/o OES.												
September 15, 2003	Submit Urban Area Assessment to OHS, c/o OES Grant Management.												
October 15, 2003	Submit Urban Area Security Strategy, and Phase 2 application (including Budget Detail Worksheets) to OHS, c/o OES Grant Management.												
15 days after the end of each calendar quarter	<p>For the duration of the grant period, or until all grant activities are completed and the grant is formally closed, a quarterly report is due to OHS, c/o OES Grant Management. Reporting period and report due dates are as follows:</p> <table border="1"> <tr> <td>For the Reporting Period...</td><td>the report is due to OHS c/o OES by...</td></tr> <tr> <td></td><td></td></tr> <tr> <td>January 1 – March 31</td><td>April 15</td></tr> <tr> <td>April 1 – June 30</td><td>July 15</td></tr> <tr> <td>July 1 – September 30</td><td>October 31</td></tr> <tr> <td>October 1 – December 31</td><td>January 13</td></tr> </table> <p>NOTE: OHS will distribute a quarterly report template, with instructions, to each core city prior to the deadline for any required quarterly report.</p>	For the Reporting Period...	the report is due to OHS c/o OES by...			January 1 – March 31	April 15	April 1 – June 30	July 15	July 1 – September 30	October 31	October 1 – December 31	January 13
For the Reporting Period...	the report is due to OHS c/o OES by...												
January 1 – March 31	April 15												
April 1 – June 30	July 15												
July 1 – September 30	October 31												
October 1 – December 31	January 13												
Within 30 days of grant activity completion, but no later than the end of the grant performance period	Submit the Final Grant Report to OHS, c/o OES Grant Management.												

Part Two – Application Requirements and Process – Phase 1

Application Components

The Phase 1 application must include the following items:

1. *Application Cover Sheet- Phase 1*
2. Certification of Approval Authority Body (if applicable)
3. “*Urban Area*” *Definition* and *Contact List* for core city and core county Points of Contact (POCs), and jurisdictional members of the Urban Area Working Group
4. Grant Program Narrative
5. Equipment Budget Detail Worksheet
6. Governing Body Resolution
7. Grant Assurances
8. Reimbursement Request, if necessary

Required forms can be found in Appendix D.

Identification of Core City and Core County Points of Contact

Points of Contact (POC) must be identified for each core city and core county. Core county is defined as the county within which the core city is geographically located.

Definition of Core City “Urban Area”

POCs for each core city and core county will work together with the POC for California’s Office of Homeland Security (OHS), to fully define the core city’s “urban area”. The definition of the “urban area” must include:

1. The geographical borders which constitute the “urban area”
2. Identification of all jurisdictions within the defined border, including any possible contiguous jurisdictions and mutual aid partners

NOTE: The definition of the urban area is limited to inclusion of jurisdictions contiguous to the core city and core county, or with which the core city or core county have established formal mutual aid agreements.

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Part Two – Application Requirements and Process – Phase 1, Continued

Identification of the Urban Area Working Group	<p>Following definition of the urban area, the core city and core county POCs will work in conjunction with all other jurisdictions within the defined urban area to identify POCs from these jurisdictions to serve on the Urban Area Working Group (UAWG).</p> <p>NOTE: All POCs are voting members of the UAWG. The UAWG may choose to include additional “non-voting” members as they consider appropriate.</p> <p>The UAWG will be responsible for coordinating development and implementation of all program elements, including the urban area assessment, strategy development, and any direct services that are delivered by ODP. ODP strongly encourages that, wherever possible, previously established local working groups be leveraged for this purpose.</p>
Approval Authority Body	<p>OHS strongly recommends that the Urban Areas create an Approval Authority Body, in addition to the mandatory UAWG. The membership composition of this Body, however, is at the joint discretion of the Core City and Core County. If established, this Body should make all final determinations on any funding allocations.</p>
Written Concurrence with Initial Funding Distribution Methodology	<p>The OHS POC, in coordination with the UAWG, must develop a methodology for allocating initial funding available through the FY03 UASI II grant. Each core city and core county must provide written concurrence with the distribution methodology for its “urban area”.</p>
Governing Body Resolution	<p>The core city must submit a Governing Body Resolution which appoints agents authorized to execute any actions necessary under this grant. See Appendix D for Governing Body Resolution form.</p> <p>The Governing Body Resolution does not have to be submitted with the application, however, no payments can be made to the core city until the Resolution has been received by OES.</p>

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Part Two – Application Requirements and Process – Phase 1, Continued

Grant Assurances

An authorized agent for the core city must submit a signed Grant Assurances form with the application package. See Appendix D for Grant Assurances form.

The Grant Assurances do not have to be submitted with the application, however, no payments can be made to the core city until the Assurances have been received by OES.

Application Submission

To complete the application for assistance, fill in all the information requested and sign and return to OHS, c/o OES Grant Management, for review and approval. **The application package is due by July 23, 2003.**

Application Assistance

OHS will work closely with the core cities throughout the application process to ensure that the application meets basic program criteria as outlined within this guide.

Part Three – Grant Performance – Phase 1

OHS Approval of Phase 1 Application

OHS will notify the core city, in writing, of the approved Phase 1 application, award amount and grant performance period.

Reimbursement of Expenditures

Grant funds will be disbursed on a reimbursement basis using the Reimbursement Request form included in Appendix D. Reimbursement request can be submitted no more frequently than monthly to OES' Grant Payments Unit.

Conduct an Urban Area Assessment

Urban areas receiving funding under this program must conduct a comprehensive Urban Area Assessment, which in turn will guide development of an Urban Area Homeland Security Strategy. Urban Areas may use a recently updated or completed (within the past 12 months) assessment for the purposes of FY03 UASI II, provided that it meets the requirements for a valid assessment. Required elements for the Urban Area Assessment are outlined in Appendix C of this Guide, which will be used to validate all assessments submitted for review. OHS will provide technical assistance to conduct and complete an assessment.

The following disciplines are critical players and must be fully represented in the assessment and strategy development process:

- law enforcement
- emergency medical services
- emergency management
- the fire service
- hazardous materials
- public works
- governmental administrative
- public safety communications
- healthcare
- public health

The jurisdictional tool developed for the Threats/Vulnerabilities/Needs/Capabilities Assessment and Homeland Security Strategy for Fiscal Year 2004 funds, should also be used by FY03 UASI II grant recipients.

Note: Receipt of all Phase 2 remaining funds is contingent upon submission of a validated Urban Area Assessment and a validated Urban Area Homeland Security Strategy.

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Part Three – Grant Performance – Phase 1, Continued

Develop an Urban Area Homeland Security Strategy

Urban areas receiving funding under this grant must develop a comprehensive Urban Area Homeland Security Strategy. Urban Areas may use a recently updated or completed (within the past 12 months) strategy for the purposes of FY03 UASI II, provided that it meets the requirements for a valid strategy. Required elements for the Urban Area Homeland Security Strategy are outlined in Appendix C of this Guide, which will be used to validate all strategies submitted for review. OHS will provide technical assistance to assist with the development of a strategy.

The following disciplines are critical players and must be fully represented in the assessment and strategy development process:

- law enforcement
- emergency medical services
- emergency management
- the fire service
- hazardous materials
- public works
- governmental administrative
- public safety communications
- healthcare
- public health

The jurisdictional tool developed for the Threats/Vulnerabilities/Needs/Capabilities Assessment and Homeland Security Strategy for Fiscal Year 2004 funds, should also be used by FY03 UASI II grant recipients.

Note: Receipt of all Phase 2 remaining funds is contingent upon submission of a validated Urban Area Assessment and a validated Urban Area Homeland Security Strategy.

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Part Three – Grant Performance – Phase 1, Continued

Revision Requests

All changes to the core city's approved Program Narratives and Budget Detail Worksheets must be submitted to OHS, c/o OES Grant Management. Revisions must be requested in writing and approved prior to initiating the revised scope of work or incurring the associated expenditures. These changes can be requested at any time during the grant performance period, or as part of the standard Quarterly Report process.

Failure to submit revision requests and receive approval prior to expenditure could result in a reduction or disallowance of that part of the grant.

Quarterly Reports

Core cities must prepare and submit quarterly reports to OHS for the duration of the grant period, or until all grant activities are completed and the grant is formally closed. The reports must include the status of all activities.

A quarterly report template, with instructions, will be distributed under separate cover prior to the deadline for the first report. Failure to submit quarterly reports could result in grant reduction, termination or suspension.

OHS Monitoring

OHS may perform periodic reviews of the core cities' grant performance. These reviews may include, but are not limited to:

- comparing actual grant activities to those approved on the grant application
 - confirming compliance with:
 - Grant Assurances
 - Information provided on the quarterly reports
-

Part Four – Appendices

Appendices

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Appendix A – Authorized Equipment Purchases and Sample Price List

Overview

Funds from the FY 03 UASI II grant may be used by the urban areas to enhance capabilities in the areas of law enforcement, emergency medical services, emergency management, the fire service, hazardous materials, public works, governmental administrative, public safety communications, healthcare and public health at the state and local levels of government in accordance with the goals and objectives identified in the urban area assessment or capability enhancement plan. Other allowable uses of funds include measures associated with target hardening and critical infrastructure security.

Grant funds may also be used to share critical information such as:

- systems to disseminate and safeguard threat information
- alert notification systems.

Funds may also be used for sustainment of first responder equipment that would be used in an urban area's response to a terrorist threat or event. This would include repair and replacement parts, equipment warranties and maintenance contracts for equipment purchased under this ODP grant.

Authorized equipment purchases may be made in the following categories:

- Personal Protective Equipment (PPE)
- Explosive Device Mitigation and Remediation Equipment
- CBRNE Search & Rescue Equipment
- Interoperable Communications Equipment
- Detection Equipment
- Decontamination Equipment
- Physical Security Enhancement Equipment
- Terrorism Incident Prevention Equipment
- CBRNE Logistical Support Equipment
- CBRNE Incident Response Vehicles
- Medical Supplies and Limited Types of Pharmaceuticals
- CBRNE Reference Materials

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Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

Personal Protective Equipment - General

Equipment worn to protect the individual from hazardous materials and contamination. Levels of protection vary and are divided into three categories based on the degree of protection afforded. The following sections identify equipment intended for use in a chemical/biological threat environment.

Note: During CBRNE response operations, the incident commander determines the appropriate level of personal protective equipment. As a guide, Levels A, B, and C are applicable for chemical/biological/radiological contaminated environments. Personnel entering protective postures must undergo medical monitoring prior to and after entry.

All SCBAs should meet standards established by the National Institute for Occupational Safety and Health (NIOSH) for occupational use by emergency responders when exposed to Chemical, Biological, Radiological and Nuclear (CBRN) agents in accordance with Special Tests under NIOSH 42 CFR 84.63(c), procedure number RCT-CBRN-STP-0002, dated December 14, 2001.

Grant recipients should purchase:

- protective ensembles for chemical and biological terrorism incidents that are certified as compliant with Class 1, Class 2, or Class 3 requirements of National Fire Protection Association (NFPA) 1994, Protective Ensembles for Chemical/Biological Terrorism Incidents
- protective ensembles for hazardous materials emergencies that are certified as compliant with NFPA 1991, Standard on Vapor Protective Ensembles for Hazardous Materials Emergencies, including the chemical and biological terrorism protection
- protective ensembles for search and rescue or search and recovery operations where there is no exposure to chemical or biological warfare or terrorism agents and where exposure to flame and heat is unlikely or nonexistent that are certified as compliant with NFPA 1951, Standard on Protective Ensemble for USAR Operations
- protective clothing from blood and body fluid pathogens for persons providing treatment to victims after decontamination that are certified as compliant with NFPA 1999, Standard on Protective Clothing for Emergency Medical Operations

For more information regarding these standards, please refer to the following web sites:

- The National Fire Protection Association - <http://www.nfpa.org>
- National Institute for Occupational Safety and Health – <http://www.cdc.gov/niosh>

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Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

Personal Protective Equipment - Level A

Fully encapsulated, liquid and vapor protective ensemble selected when the highest level of skin, respiratory and eye protection is required. A detailed Approved Equipment List follows.

Personal Protective Equipment - Level B

Liquid splash resistant ensemble used with highest level of respiratory protection. A detailed Approved Equipment List follows.

Personal Protective Equipment - Level C

Liquid splash resistant ensemble, with same level of skin protection of Level B, used when the concentration(s) and type(s) of airborne substances(s) are known and the criteria for using air-purifying respirators are met. A detailed Approved Equipment List follows.

Personal Protective Equipment - Level D

Selected when no respiratory protection and minimal skin protection is required, and the atmosphere contains no known hazard and work functions preclude splashes, immersion, or the potential for unexpected inhalation of, or contact with, hazardous levels of any chemicals. A detailed Approved Equipment List follows.

Explosive Device Mitigation and Remediation

Equipment providing for the mitigation and remediation of explosive devices in a CBRNE environment. A detailed Approved Equipment List follows.

CBRNE Search and Rescue Equipment

Equipment providing a technical search and rescue capability for a CBRNE environment. A detailed Approved Equipment List follows.

Continued on next page

Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

Interoperable Communications Equipment

Equipment and systems providing connectivity and electrical interoperability between local and interagency organizations to coordinate CBRNE response operations.

Note: In an effort to improve public safety interoperability, all new or upgraded radio systems and new radio equipment should be compatible with a suite of standards called ANSI/TIA/EIA-102 Phase I (Project 25). These standards have been developed to allow for backward compatibility with existing digital and analog systems and provide for interoperability in future systems. The FCC has chosen the Project 25 suite of standards for voice and low-moderate speed data interoperability in the new nationwide 700 MHZ frequency band and the Integrated Wireless Network (IWN) of the United States Justice and Treasury Department has chosen the Project 25 suite of standards for their new radio equipment. In an effort to realize improved interoperability, all radios purchased under this grant should be APCO 25 compliant.

A detailed Approved Equipment List follows.

Detection Equipment

Equipment to sample, detect, identify, quantify, and monitor for chemical, biological, radiological/nuclear and explosive agents throughout designated areas or at specific points. A detailed Approved Equipment List follows.

Decontamination Equipment

Equipment and material used to clean, remediate, remove or mitigate chemical and biological contamination. A detailed Approved Equipment List follows.

Physical Security Enhancement Equipment

Equipment to enhance the physical security of critical infrastructure. A detailed Approved Equipment List follows.

Continued on next page

Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

Terrorism Incident Prevention Equipment

Local public safety agencies will increasingly rely on the integration of emerging technologies and equipment to improve urban area capabilities to deter and prevent terrorist incidents. This includes, but is not limited to, equipment and associated components that enhance a urban area's ability to disseminate advanced warning information to prevent a terrorist incident or disrupt a terrorist's ability to carry out the event, including information sharing, threat recognition, and public/private sector collaboration. A detailed Approved Equipment List follows.

CBRNE Logistical Support Equipment

Logistical support gear used to store and transport the equipment to the CBRNE incident site and handle it once onsite. This category also includes small support equipment including intrinsically-safe (non-sparking) hand tools required to support a variety of tasks and to maintain equipment purchased under the grant as well as general support equipment intended to support the CBRNE incident response. A detailed Approved Equipment List follows.

CBRNE Incident Response Vehicles

This category includes special-purpose vehicles for the transport of CBRNE response equipment and personnel to the incident site. Licensing and registration fees are the responsibility of the jurisdiction and are not allowable under this grant. In addition, general purpose vehicles (squad cars, executive transportation, etc.), fire apparatus, and tactical/armored assault vehicles are not allowable. A detailed Approved Equipment List follows.

Medical Supplies and Pharmaceuticals

Medical supplies and pharmaceuticals required for response to a CBRNE incident. Urban areas are responsible for replenishing items after shelf-life expiration date(s). A detailed Approved List follows.

CBRNE Reference Materials

Reference materials designed to assist emergency first responders in preparing for and responding to a CBRNE incident. A detailed Approved List follows.

Continued on next page

Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

Personal Protective Equipment (PPE) - Level A

1	Fully Encapsulated Liquid and Vapor Protection Ensemble, reusable or disposal (tested and certified against CB threats)	\$800 - \$2,000/each
3	Fully Encapsulated Training Suits	\$100 - \$200/each
5	Closed-Circuit Rebreather (minimum 2-hour supply preferred)	\$5,000 - \$7,000/each
6	Open-circuit Self-Contained Breathing Apparatus (SCBA)	\$2,000 - \$5,000/each
210	Air-Line System with 15-minute minimum escape SCBA	\$1,500 - \$4,500/each
7	Spare Cylinders/Bottles for rebreathers	\$500 - \$1,000/each
288	Spare Cylinders/Bottles for SCBA	\$500 - \$2,000/each
8	SCBA service/repair kits	\$15 - \$100/each
9	Chemical Resistant Gloves, including thermal as appropriate to hazard	\$30 - \$100/pair
10	Personal Cooling System; Vest with support equipment needed for maintaining body core temperature within acceptable limits	\$800 - \$1,000/each
11	Personal Cooling System; Full Suit with support equipment needed for maintaining body core temperature within acceptable limits	\$1,400 - \$1,600/each
94	Hardhat/helmet	\$10 - \$25/each
95	Chemical/Biological Protective Undergarment	\$75 - \$200/each
96	Inner Gloves	\$10 - \$50/each
97	Approved Chemical Resistant Tape	\$10 - \$15/roll
12	Chemical Resistant Boots, Steel or Fiberglass Toe and Shank	\$65 - \$100/pair
98	Chemical Resistant Outer Booties	\$5 - \$20/pair

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Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

Personal Protective Equipment (PPE) - Level B

17	Liquid Splash Resistant Chemical Clothing, encapsulated or non-encapsulated	\$250 - \$1,000/each
99	Liquid Splash Resistant Hood	\$50 - \$200/each
19	Closed-Circuit Rebreather (minimum 2-hour supply preferred)	\$3,000 - \$7,000/each
100	Open-circuit SCBA	\$2,000 - \$5,000/each
101	Air-Line System with 15-minute escape SCBA	\$1,500 - \$4,500/each
20	Spare Cylinders/Bottles for rebreathers	\$500 - \$1,000/each
289	Spare Cylinders/Bottles for SCBA.	\$500 - \$2000/each
21	SCBA service/repair kits.	\$15 - \$100/ each
18	Chemical Resistant Gloves, including thermal, as appropriate to hazard	\$30 - \$100/pair
24	Personal Cooling System; Vest with support equipment needed for maintaining body core temperature within acceptable limits	\$808 - \$831/each
25	Personal Cooling System; Full Suit with support equipment needed for maintaining body core temperature within acceptable limits	\$1,410 - \$1,451/each
102	Hardhat/helmet	\$10 - \$25/each
103	Chemical/Biological Protective Undergarment	\$75-\$200/each
104	Inner gloves	\$10 - \$50/pair
105	Approved Chemical Resistant Tape	\$10 - \$15/roll
26	Chemical Resistant Boots, Steel or Fiberglass Toe and Shank	\$65 - \$71/pair
106	Chemical Resistant Outer Booties	\$59 - \$87/pair

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Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

Personal Protective Equipment (PPE) - Level C

29	Liquid Chemical Splash Resistant Clothing (permeable or non-permeable)	\$50 - \$200/each
107	Liquid Chemical Splash Resistant Hood (permeable or non-permeable)	\$25 - \$75/each
31	Tight-fitting, full facepiece, negative pressure air purifying respirator with the appropriate cartridge(s) or canister(s) and P100 filter(s) for protection against toxic industrial chemicals, particulates, and military specific agents	\$400 - \$600/each
108	Tight-fitting, full facepiece, Powered Air Purifying Respirator (PAPR) or PAPR with chemically resistant hood with appropriate cartridge(s) or canister(s) and high-efficiency filter(s) for protection against toxic industrial chemicals, particulates, and military specific agents	\$400 - \$600/each
109	Equipment or System Batteries will include those that are rechargeable such (e.g. NiCAD) or non-rechargeable with extended shelf life (e.g. Lithium)	\$200 - \$300/each
30	Chemical Resistant Gloves, including thermal as appropriate to hazard	\$30 - \$100/pair
33	Personal Cooling System; Vest with support equipment needed for maintaining body core temperature within acceptable limits	\$808 - \$831/each
34	Full Suit, Personal Cooling System with support equipment Personal Cooling System; Full Suit with support equipment needed for maintaining body core temperature within acceptable limits	\$1,410 - \$1,451/each
110	Hardhat	\$10 - \$25/each
111	Inner Chemical/Biological Resistant Garment	\$75 - \$200/each
112	Inner gloves	\$10 - \$50/pair
113	Chemical Resistant Tape	\$10 - \$15/roll
35	Chemical Resistant Boots, Steel or Fiberglass Toe and Shank	\$65 - \$71/pair
114	Chemical Resistant Outer Booties	\$5 - \$20/pair

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Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

Personal Protective Equipment (PPE) - Level D

37	Escape mask for self-rescue	\$14 - \$200/each
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Explosive Device Mitigation and Remediation

115	Bomb Search Protective Ensemble for Chemical/Biological Response	\$12,000- \$18,000/each
116	Chemical/Biological Undergarment For Bomb Search Protective Ensemble	\$100 - \$200/each
117	Cooling Garments to manage heat stress	\$300 - \$500/each
118	Ballistic Threat Body Armor (not for riot suppression)	\$8,000 - \$12,000/each
119	Ballistic Threat Helmet (not for riot suppression)	\$2000 - \$4000 each
120	Blast and Ballistic Threat Eye Protection (not for riot suppression)	\$20 - \$30 each
121	Blast and Overpressure Threat Ear Protection (not for riot suppression)	\$40 - \$60 each
122	Fire Resistant Gloves	\$40 - \$60/pair
123	Dearmer/Disrupter	\$3,000 - \$4,000/pair
124	Real Time X-Ray Unit	\$20,000 - \$30,000/each
125	Portable X-Ray Unit	\$6,000 - \$12,000/each
126	CBRNE Compatible Total Containment Vessel (TCV)	\$250,000 - \$500,000/each
127	CBRNE Upgrades for existing TCV	\$90,000 - \$110,000/each
128	Robot	\$100,000 - \$150,000/each
129	Robot Upgrades	\$20,000 - \$30,000/each
130	Fiber Optic Kit (inspection or viewing)	\$20,000 - \$30,000/kit
131	Tents, standard or air inflatable for chem/bio protection	\$6,000 - \$8,000/each
233	Inspection mirrors	\$40 - \$60/each
234	Ion Track Explosive Detector	Price Not Available

Continued on next page

Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

CBRNE Search and Rescue Equipment

235	Hydraulic tools; hydraulic power unit	\$12,000- \$15,000/each
132	Listening Devices; hearing protection	\$20,000 - \$50,000/each
133	Search cameras (including thermal and infrared imaging)	\$10,000 - \$20,000/each
134	Breaking devices (including spreaders, saws and hammers)	\$10,000 - \$20,000/each
135	Lifting devices (including air bag systems, hydraulic rams, jacks, ropes and block and tackle)	\$12,000 - \$15,000/each
236	Blocking and bracing materials	Price Not Available
237	Evacuation chairs (for evacuation of disabled personnel)	Price Not Available
238	Ventilation fans	Price Not Available

Interoperable Communications Equipment

87	Land Mobile, Two-Way In-Suit Communications (secure, hands-free, fully duplex, optional) including air-to-ground capability (as required)	\$3,000 - \$5,000/each
239	Antenna systems	Price Not Available
136	Personnel Alert Safety System (PASS) – (location and physiological monitoring systems optional)	\$300 - \$1,000/each
89	Personnel Accountability Systems	\$190 - \$300/each
86	Individual/portable radios, software radios, portable repeaters, radio interconnect systems, satellite phones, batteries, chargers and battery conditioning systems	\$25,000 - \$30,000/each
88	Computer systems designated for use in an integrated system to assist with detection and communication efforts (must be linked with integrated software packages designed specifically for chemical and/or biological agent detection and communication purposes)	\$10,000- \$20,000/each
137	Portable Meteorological Station (monitors temperature, wind speed, wind direction and barometric pressure at a minimum)	\$5,000 - \$25,000/each
240	Computer aided dispatch system	Price Not Available
138	Commercially available crisis management software	\$500 - \$2,000/each
241	Mobile Display Terminals	Price Not Available
312	Systems to disseminate and safeguard threat information	Price Not Available

Continued on next page

Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

Detection Equipment - Chemical

38	M-8 Detection Paper for Chemical agent identification	\$225 - \$350/box
39	M-9 Detection Paper (roll) for chemical agent (military grade) detection	\$51 - \$60/roll
40	M256 Detection Kit for Chemical Agent (weapons grade-blister: CX/HD/L blood: AC/CK; and nerve: GB/VX) detection	\$182 - \$400/kit
41	M-256 Training Kit	\$286 - \$410/kit
139	M-18 Series Chemical Agent Detector Kit for surface/vapor chemical agent analysis	\$900 - \$1,000/kit
42	Hazard Categorizing (HAZCAT) Kits	\$250 - \$2,500/kit
50	Photo-Ionization Detector (PID)	\$4,000 - \$7,000/each
51	Flame Ionization Detector (FID)	\$6,850 - \$20,000/each
140	Surface Acoustic Wave Detector	\$6,000 - \$20,000/each
52	Gas Chromatograph/Mass Spectrometer (GC/MS)	\$16,975 - \$20,000/each
141	Ion Mobility Spectrometry	\$6,000 - \$20,000/each
44	Stand-off Chemical Detector	\$9,000 - \$18,000/each
142	M-272 Chemical Agent Water Test Kit	\$200 - \$300/each
47	Colorimetric Tube/Chip Kit specific for TICs and CBRNE applications	\$1,100 – \$3,200/each
48	Multi- gas Meter with minimum of O2 and LEL	\$1,875 - \$4,000/each
143	Leak Detectors (soap solution, ammonium hydroxide, etc.)	\$2 - \$10/each
144	pH Paper/pH Meter	\$10 - \$20/each
145	Waste Water Classifier Kit	\$200 - \$2,000/each
146	Oxidizing Paper	\$10 - \$20/pack
242	Protective cases for sensitive detection equipment storage & transport	Price Not Available

Detection Equipment - Biological

60	Point Detection Systems/Kits (immunoassay or other technology)	\$475 - \$4,125/kit
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Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

Detection Equipment - Radiological/Nuclear

55	Radiation detection equipment (electronic or other technology that detects alpha, beta, gamma and high intensity gamma)	\$1,000 - \$10,000/each
56	Personal Dosimeter	\$100 - \$160/each
147	Scintillation Fluid (radiological) pre-packaged	\$30 - \$50/each
243	Radiation monitors	\$3,000-\$4,000/each

Detection Equipment - Explosive

244	Canines (initial acquisition, initial operational capability only)	\$75 – \$4,125/kit
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Decontamination Equipment - Chemical

148	Decontamination system for individual and mass application with environmental controls, water heating system, showers, lighting, and transportation (trailer)	\$20,000-\$300,000/each
70	Decon litters/roller systems	\$300 - \$500/each
71	Extraction Litters, rollable	\$300 - \$500/each
65	Runoff Containment Bladder(s)	\$500 - \$800/each
66	Decontamination shower waste collection with intrinsically-safe evacuation pumps, hoses, connectors, scrub brushes, nozzles	\$884 - \$1124/each
149	Spill Containment Devices	\$50 - \$700/each
73	Overpak Drums	\$100 - \$500/each
72	Non-transparent Cadaver Bags (CDC standard)	\$75 - \$100/each
245	Hand Carts	Price Not Available
246	Waste water classification kits/strips	Price Not Available

Decontamination Equipment - Biological

74	HEPA (High Efficiency Particulate Air) Vacuum for dry decontamination	\$3,000 - \$3,200/each
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Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

Physical Security Enhancement Equipment - Surveillance, Warning, Access/Intrusion Control – Ground and Waterfront

150	Motion Detector Systems: Acoustic; Infrared; Seismic; Magnetometers	\$25,000 - \$500,000/each
151	Barriers; Fences; Jersey Walls	\$100 - \$500/each
152	Impact Resistant Doors and Gates	\$300 - \$5,000/each
153	Portal Systems ; locking devices for access control	\$400,000-\$900,000/each
154	Alarm Systems	\$1,000 - \$500,000/each
155	Video Assessment/Cameras: Standard Low Light, IR, Automated Detection	\$1,000 - \$500,000/each
156	Personnel Identification: Visual; Electronic; Acoustic; Laser; Scanners; Cyphers/Codes	\$1,000 - \$500,000/each
157	X-Ray Units	\$7,000 - \$75,000/each
158	Magnetometers	\$25,000 - \$500,000/each
247	Vehicle Identification: Visual; Electronic; Acoustic; Laser; Radar	\$25,000 – \$500,000/each

Physical Security Enhancement Equipment - Surveillance, Warning, Access/Int rusion Control – Waterfront Only

159	Radar Systems	\$13,000 - \$75,000/each
160	Video Assessment System/Cameras: Standard, Low Light, IR, Automated Detection	\$1,000 - \$500,000/each
161	Diver/Swimmer Detection Systems; Sonar	\$500,000 - \$1,000,000/each
162	Impact Resistant Doors and Gates	\$300 - \$5,000/each
163	Portal Systems	\$400,000 - \$900,000/each
164	Hull Scanning Equipment	\$80,000 - \$300,000/each

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Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

Physical Security Enhancement Equipment - Sensors - Agent/Explosives Detection

165	Chemical: Active/Passive; Mobile/Fixed; Handheld	\$4,000 - \$250,000/each
166	Biological: Active/Passive; Mobile/Fixed; Handheld	\$4,000 - 750,000/each
167	Radiological	\$1,000 - \$10,000/each
168	Nuclear	\$5,000 - \$20,000/each
169	Ground/Wall Penetrating Radar	\$20,000-\$100,000/each

Physical Security Enhancement Equipment - Inspection/Detection Systems

170	Vehicle & Cargo Inspection System-Gamma Ray	\$9,000 - \$15,000/each
171	Mobile Search & Inspection System-X-ray	\$20,000 - \$50,000/each
172	Non-Invasive Radiological/Chem/Bio Explosives System-Pulsed Neutron Activation	\$12.5 million/each

Physical Security Enhancement Equipment - Explosion Protection

173	Blast/Shock/Impact Resistant Systems	\$1,000 - \$250,000/each
174	Protective Clothing	\$8,000 - \$12,000/each
175	Column and Surface Wraps; Breakage Shatter Resistant Glass; Window Wraps	\$1,000 - \$200,000/each
232	Robotic Disarm/Disable Systems	\$150,000 – 200,000 each

Terrorism Incident Prevention Equipment (Terrorism Early Warning, Prevention, and Deterrence Equipment and Technologies)

248	Data collection/information gathering software	Price Not Available
249	Data synthesis software	Price Not Available
250	Geographic Information System information technology and software	Price Not Available
251	Law enforcement surveillance equipment	Price Not Available
313	Alert Notification Systems	Price Not Available

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Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

CBRNE Logistical Support Equipment

176	Equipment Trailers	\$3,000-\$20,000/each
252	Weather-tight containers for equipment storage	Price Not Available
253	Software for equipment tracking and inventory	Price Not Available
254	Handheld computers for Emergency Response applications	\$1500 -\$25,000/each
255	Small Hand tools	Price Not Available
256	Binoculars, head lamps, range finders and spotting scopes (not for weapons use)	Price Not Available
257	Small Generators to operate light sets, water pumps for decontamination sets	\$130 - \$3,000/each
258	Light sets for nighttime operations/security	Price Not Available
259	Electrical Current detectors	Price Not Available
260	Equipment harnesses, belts, and vests	Price Not Available
261	Isolation containers for suspected chemical/biological samples	\$5 - \$30/each
262	Bull horns	\$60 - \$110/each
263	Water pumps for decontamination systems	Price Not Available
264	Bar code scanner/reader for equipment inventory control	Price Not Available
265	Badging system equipment and supplies	\$1,000 - \$3,000/each
290	Cascade system for refilling SCBA oxygen bottles	Price Not Available
266	SCBA fit test equipment and software to conduct flow testing	Price Not Available
267	Testing Equipment for fully encapsulated suits	\$1,340 - \$1,500/each
268	Cooling/heating/Ventilation Fans (personnel and decontamination tent use)	Price Not Available
269	HAZMAT Gear Bag/Box	\$59 – \$87/each

Continued on next page

Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

CBRNE Incident Response Vehicles

270	Mobile command post vehicles	\$80,000 - \$100,000/each
271	Hazardous materials (HazMat) response vehicles	\$20,000 - \$75,000/each
272	Bomb response vehicles	Price Not Available
273	Prime movers for equipment trailers	Price Not Available
274	2-wheel personal transport vehicles for transporting fully suited bomb technicians, Level A/B suited technicians to the Hot Zone	Price Not Available
275	Multi-wheeled all terrain vehicles for transporting personnel and equipment to and from the Hot Zone	Price Not Available

Continued on next page

Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

Medical Supplies and Pharmaceuticals - Medical Supplies

177	Automatic Biphasic External Defibrillators	\$3,000 - \$7,000/each
178	Equipment/supplies for establishing and maintaining a patient airway at the advanced life support level (to include OP and NG airways; ET tubes, styletes, blades, and handles; portable suction devices and catheters; and stethoscopes for monitoring breath sounds)	\$20 - \$250/each
276	Blood Pressure Cuffs	Price Not Avail.
179	IV Administration Sets (Macro and Micro) and Pressure Infusing Bags	\$5 - \$20/each
180	IV Catheters (14, 16, 18, 20, and 22 gauge)	\$1 - \$5/each
181	IV Catheters (Butterfly 22, 24, and 26 gauge)	\$1 - \$5/each
182	Manual Biphasic Defibrillators (defibrillator, pacemaker, 12 lead) and carry bags	\$3,000 - \$7,000/each
183	Eye Lens for Lavage or Continuous Medication	\$20 - \$50/each
277	Morgan Eye Shields	Price Not Avail.
184	Nasogastric Tubes	\$20 - \$50/each
185	Oxygen administration equipment and supplies (including bag valve masks: rebreather and non-rebreather masks and nasal cannulas; oxygen cylinders, regulators, tubing and manifold distribution systems; and pulse oximetry) Capnography & CO2 detection devices)	\$20 - \$3,000/each
79	Portable Ventilator	\$20 - \$1,000/each
287	Pulmonary Fit Tester	Price Not Available
186	Syringes (3cc and 10cc)	\$1 - \$5/each
187	26 gauge 1/2" needles (for syringes)	\$1 - \$2/each
188	21 gauge 1-1/2" needles (for syringes)	\$1 - \$2/each
278	Triage Tags and Tarps	Price Not Available
279	Sterile and Non-Sterile dressings, all forms and sizes	\$5 - \$20/Per Pack
280	Gauze, all sizes	\$30 - \$40/Per Box

Continued on next page

Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

Medical Supplies and Pharmaceuticals - Pharmaceuticals

75	2Pam Chloride	\$15 - \$20/each
189	Adenosine 5 gm	\$13 - \$17/each
190	Adenosine 25 gm	\$42 - \$48/each
191	Adenosine 100 gm	\$118 - \$140/each
291	Albuterol Sulfate .083%	\$30 - \$40/each
193	Albuterol MDI	\$20 - \$40/each
292	Atropine 0.1 & 0.4 mg/ml	\$10 - \$100/each
77	Atropine Auto Injectors	\$14 - \$20/each
196	Benadryl	\$15 - \$20/each
78	CANA Auto Injectors	\$20 - \$426/each
197	Calcium Chloride	\$140 - \$170/each
198	Calcium Gluconate 10%	\$25 - \$40/each
293	Ciprofloxin PO	Price Not Available
202	Cyanide Antidote Kits	\$275 - \$325/each
294	Dextrose	\$12 - \$130/each
205	Dopamine	\$50 - \$80/each
295	Doxycycline PO	Price Not Available
296	Epinephrine	\$2 - \$10/each
211	Glucagon	\$48-\$70/each
213	Lasix – TAB 20 mg 100s	\$19-\$21/each
214	Lasix – TAB 40 mg 100s	\$26-\$29/each
215	Lasix – TAB 80 mg 50s	\$21-\$25/each
216	Lidocaine – Vial 0.5% 50 ml 25s	\$99-110/each
217	Lidocaine – Vial 1% 50 ml 25s	\$84-\$90/each
218	Loperamide	\$11 - \$15/each
219	Magnesium Sulfate	\$67-\$80/each
220	Methylprednisolone	\$8 - \$11/each
221	Narcan	\$32-\$40/each
222	Nubain	\$24-\$30/each
223	Nitroglycerin	\$11-\$15/each
297	Normal Saline (500 and 1000 ml bags)	\$2 - \$5/each
281	Potassium Iodide	\$2 - \$20/each
225	Silver Sulfadiazine	\$25-\$30/each
226	Sodium Bicarbonate	\$225-\$400/each
227	Sterile Water	\$2 -\$4/each
228	Tetracaine	\$121-\$195/each
229	Thiamine	\$25-\$30/each
230	Valium	\$22-\$30/each

Continued on next page

Appendix A – Authorized Equipment Purchases and Sample Price List, Continued

CBRNE Reference Materials

282	NFPA Guide to hazardous materials	\$103.50 - \$115/each
283	NIOSH Hazardous Materials Pocket Guide	\$7.50 - \$13.50/each
284	North American Emergency Response Guide	\$9 - \$12/each
285	Jane's Chem-Bio Handbook	\$10 - \$20/each
286	First Responder Job Aids	Price Not Available

Appendix B – Allowable Exercise Costs

Overview	<p>Funds from FY03 UASI II grant may be used to plan for, design, develop, conduct, and evaluate exercises that train emergency responders and assess the readiness of urban areas to prevent and respond to a terrorist attack. Exercises must be threat and performance-based, in accordance with ODP's Homeland Security Exercise and Evaluation Program (HSEEP) manuals. These manuals will provide explicit direction on the design, conduct and evaluation of terrorism exercises. Exercises conducted with ODP support (grant funds or direct support) must be managed and executed in accordance with the HSEEP.</p>
Exercise Planning Workshop	<p>Grant funds may be used to plan and conduct an Exercise Planning Workshop to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and exercise plan development.</p>
Full or Part-Time Staff or Contractors, Consultants	<p>Full or part-time staff may be hired to support exercise-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the unit(s) of local government. The services of contractors/consultants may also be procured by the urban area in the design, development, conduct and evaluation of CBRNE exercises.</p>
Overtime	<p>Payment of overtime expenses will be for work performed by employees in excess of the established work week (usually 40 hours). Further, overtime payments are allowed only to the extent the payment for such services is in accordance with the policies of the unit(s) of local government. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award, for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to FICA, Worker's Compensation and Unemployment Compensation.</p>
Travel	<p>Travel costs (i.e., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise project(s). These costs must be in accordance with either the federal or an organizationally-approved travel policy.</p>

Continued on next page

Appendix B – Allowable Exercise Costs, Continued

Supplies	Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, and non-sterile masks).
<hr/>	
Implementation of the HSEEP	Costs related to setting up and maintaining a system to track the completion and submission of After Action Reports (AARs) and the implementation of Corrective Action Plans (CAPs) from exercises, which may include costs associated with meeting with local jurisdictions to define procedures. <i>Note: ODP is developing a national information system for the scheduling of exercises and the tracking of AAR/CAPs to reduce the burden on the localities and to facilitate national assessments of preparedness.</i>
<hr/>	
Other Items	These costs include the rental of space/locations for exercise planning and conduct, exercise signs, badges, etc.
<hr/>	

Appendix C – Assessment and Strategy Validation Checklist

The following checklist will be used to review urban area assessments for the purposes of this program. The major areas of review are coordination, risk assessment, capabilities assessment, needs assessment, and strategy.

COORDINATION

- The urban area has completed major areas one through four, including all contiguous jurisdictions, mutual aid partners, and the State through an Urban Area Working Group.
- The urban area has listed all jurisdictions represented on the working group:

MAJOR AREA 1: Risk Assessment

- The urban area has completed a risk assessment containing ALL of the following elements:
 - Threat Assessment - The purpose of a threat assessment is to determine the relative likelihood of a known potential threat element attempting to attack using a weapon of mass destruction.
 - Identify Potential Threat Elements (PTE) within the urban area - Potential threat elements are any group or individual in which there are allegations or information indicating a possibility of the unlawful use of force or violence, specifically the utilization of WMD, against persons or property to intimidate or coerce a government, the civilian population, or any segment thereof, in furtherance of a specific motivation or goal, possibly political or social in nature. Following are examples of threat element factors:

The presence of threat factors such as:

- PTE existence
- PTE violent history
- PTE intentions
- PTE WMD capabilities, and
- PTE targeting
- Motivation of each PTE
- Identification of the WMD capabilities of PTE

Continued on next page

Appendix C – Assessment and Strategy Validation Checklist, Continued

- Vulnerability Assessment - Basic vulnerability assessments provide a current vulnerability profile for all potential targets located within boundaries of the urban area.
 - Identify Potential Targets to include: critical infrastructure facilities, sites, systems, or special events that are present or take place within the urban area. For each of these identified consider:
 - Level of Visibility
 - Criticality of Target Site to the urban area
 - Impact Outside of the urban area
 - Potential Threat Element Access to Target
 - Potential Target Threat of Hazard
 - Potential Target Site Population Capacity
 - Potential Collateral Mass Casualties
 - Rate Target
 - Identify Legal Hazardous Sites within the following five areas located within the urban area.
 - Chemical
 - Biological
 - Radiological
 - Nuclear
 - Explosive

MAJOR AREA 2: Capabilities Assessment

- The urban area has completed a capabilities assessment containing ALL of the following elements:
 - An urban area capabilities assessment examines the current capabilities of the urban area's emergency responders. An effective capabilities assessment will identify the planning, organization, equipment, training, and exercises available to safely and effectively respond to WMD incidents. The following tasks should be considered in a capabilities assessment:
 - Establish CBRNE materials likely to be used during a WMD terrorism incident in order to help determine current capabilities of each response discipline to respond appropriately.
 - Establish a numerical focus of affected civilians/ responders who may become incapacitated during a WMD terrorism incident.
 - Apply these factors to planning, organization, equipment, training, and exercises in order to identify gaps.

Continued on next page

Appendix C – Assessment and Strategy Validation Checklist, Continued

MAJOR AREA 3: Needs Assessment

- The urban area has completed a needs assessment containing ALL of the following elements:
 - A needs assessment should use the data collected through the risk and capabilities assessments to determine what additional capabilities are needed to increase emergency responder capabilities to respond to a WMD terrorism incident effectively. The following solution areas should be addressed as part of an adequate needs assessment:
 - Planning: Assess planning the urban area has conducted and identify additional requirements to ensure emergency responders have an updated emergency response plan and terrorism incident annex to provide direction in the event of a WMD incident.
 - Organization: Assess organizational efforts the urban area has addressed through the construction of emergency response teams and written mutual aid agreements among the urban area partners to provide coverage to those areas lacking WMD response capabilities, and identify additional steps which may be necessary.
 - Equipment: Assess the equipment resources necessary to respond to WMD terrorism incidents that may occur in the urban area determined through planning factors, WMD response levels by discipline, and specific tasks desired by each discipline.
 - Training: Assess additional WMD training needed by each discipline using training guidelines provided for increased capabilities.
 - Exercise: Assess additional exercises the urban area needs to properly exercise their local plans.

Continued on next page

Appendix C – Assessment and Strategy Validation Checklist, Continued

MAJOR AREA 4: Strategy Goals, Objectives and Implementation Steps

- The urban area has developed goals, objectives and implementation steps containing ALL of the following elements:
 - The information and data gathered from the urban area identifies current capabilities and projected needs. Using this information, a comprehensive assessment should result in the development of broad-based goals that address areas of response enhancement as well as objectives for each goal. Plans, organizations, equipment, training, and exercises are areas for consideration in reducing shortfalls in response capabilities.
 - A. Goal: A target that the urban area wants to achieve regarding an improved level of capability.
 - Help urban area to achieve its vision
 - Focuses on the long term
 - Broad in scope
 - B. Objective: Specific statements of desired achievement that supports the goal.
 - Support the attainment of long range goals
 - Focus on short term
 - It is specific, measurable, achievable, results-oriented, and time-limited
 - C. Implementation step: A road map to the accomplishment of the objective.
 - D. Metric(s): A tool for measuring progress in achieving goals and objectives.

Appendix D – Application Forms

Forms

This section contains the following forms:

1. *Application Cover Sheet- Phase 1*
 2. Certification of Approval Authority Body (if applicable)
 3. “*Urban Area*” *Definition* and *Contact List* for core city and core county Points of Contact (POCs), and jurisdictional members of the Urban Area Working Group
 4. Grant Program Narrative
 5. Equipment Budget Detail Worksheet
 6. Governing Body Resolution
 7. Grant Assurances
 8. Reimbursement Request
-

Office of Homeland Security – Urban Area Security Initiative II Grant Program
Application Cover Sheet – Phase 1

Core City: _____

Core City Authorized Agent Contact and Mailing Information

Authorized Agent Mailing Address

Printed Name/Title

City, State, Zip Code

Area Code/Office Telephone Number

E-Mail Address

Planning Amount Requested \$ _____

Equipment Amount Requested \$ _____

Training Amount Requested \$ _____

Exercise Amount Requested \$ _____

**Management and Administration
Amount Requested** \$ _____

Operational Activities Amount Requested \$ _____

Total Initial Allocation Amount Requested for Phase 1 \$ _____
(note: core city may only request up to 25% of its total allocation for Phase 1)

Certification and Signature of Core City Authorized Agent and Core County Point of Contact

I hereby certify that the attached application represents the FY03 Urban Area Security Initiative II – Phase 1 grant needs for the defined urban area of the core city named above.

Signature of Core City Authorized Agent

Printed Name

Title

Date

Signature of Core County Point of Contact

Printed Name

Title

Date

For OHS use ONLY

Application reviewed/Grant award approved by: _____
Name Date

Grant Performance Period: _____

OES ID # _____ Catalog of Federal Domestic Assistance #16.011 Award # _____

Office of Homeland Security – Urban Area Security Initiative II Grant Program
Certification of Approval Authority Body – Phase 1

Name of Core City: _____

By signing below, I hereby certify that the enclosed application represents the Approval Authority Body's consensus on the *FY03 Urban Area Security Initiative II – Phase 1 grant needs for the defined urban area of the core city named above.*

Printed Name	Signature and Date	Title	Jurisdiction
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

NOTE: This form is only required if an Approval Authority Body was established. Add more signature lines as needed.

Office of Homeland Security – Urban Area Security Initiative II Grant Program

“Urban Area” Definition and Contact List – Phase 1

Name of Core City: _____
(the core city is the eligible jurisdiction as defined in the FY03 UASI II *Grant Guide for Local Governments*)

Name of Core County: _____
(the core county is the county within which the core city is geographically located)

“Urban Area” Definition

Attach a narrative which includes the following information:

- Definition of the “urban area” including identification of the geographical borders which constitute the “urban area”.
- Description of the methodology used to define the “urban area”
- Identification of all jurisdictions within the defined border, including any possible contiguous jurisdictions and mutual aid partners.

NOTE: The definition of the urban area is limited to inclusion of jurisdictions contiguous to the core city and core county, or with which the core city or core county have established formal mutual aid agreements.

Points of Contact

Provide the following information for the Points of Contact (POC) for the core city, core county, and all jurisdictions included in the “urban area”:

- POC’s name
- POC’s title
- POC’s e-mail address
- POC’s work phone number and area code
- POC’s fax number and area code
- Name of jurisdiction represented by the POC

NOTE: All POCs are voting members of the Urban Area Working Group (UAWG). If there are other members of the UAWG, please include the above information and note that they are “non-voting” members of the UAWG.

Approval Authority Body

If an “urban area” Approval Authority Body is established, describe how membership was determined, and provide the following information for each member of the Body:

- name
- title
- e-mail address
- work phone number and area code
- fax number and area code
- name of jurisdiction that the member represents
- discipline that the member represents

Office of Homeland Security – Urban Area Security Initiative II Grant Program

Grant Program Narrative – Phase 1

Planning

If the core city is requesting planning funds on the Application Cover Sheet, please write a brief narrative that identifies what planning activities will be accomplished with these funds.

Equipment

If the core city is requesting equipment funds on the Application Cover Sheet, please complete an Equipment Budget Detail Worksheet and return it with the application.

Training

If the core city is requesting training funds on the Application Cover Sheet, please write a brief narrative that identifies the following information, and return it with the application:

- Describe which training classes will be developed
- Identify the training institutions which will assist with the development of the identified classes

Exercise

If the core city is requesting exercise funds on the Application Cover Sheet, please write a brief narrative that identifies the following information, and return it with the application:

- What type of exercise(s) will be conducted
- How many exercise(s) will be conducted
- How often the exercises be conducted
- How many jurisdictions and disciplines are expected to participate in each exercise

Operational Activities

If the core city is requesting operational activities funds on the Application Cover Sheet, please identify total funds requested for each of the following ORANGE alert periods:

- beginning on February 7, 2003 and ending on February 27, 2003
- beginning on March 17, 2003 and ending on April 16, 2003
- beginning on May 20, 2003 and ending on May 30, 2003

Core City: _____

* Unit Cost x Qty

Office of Homeland Security – Urban Area Security Initiative II Grant Program

Instruction Sheet for Equipment Budget Detail Worksheet – Phase 1

**Item Number,
Category and
Equipment
Description**

For the item to be purchased, enter the Item Number, Category and Equipment Description from Appendix A.

Discipline

Use ONLY the following abbreviations to identify the discipline for which the equipment will be used:

LE - Law Enforcement	PW - Public Works
EMS - Emergency Medical Services	PH - Public Health
EMA - Emergency Management	GA - Governmental Administrative
FS - Fire Services	PSC - Public Safety Communications
HZ - HAZMAT	HC - Health Care

**Maintenance,
Repair or
Purchase**

Use the following abbreviations to identify:

- M = maintenance contract, equipment warranty, repair, or replacement parts for equipment purchased under any ODP equipment grant
 - P = purchase of approved equipment
 - T = training costs associated with purchased equipment
-

Item Cost

For each item to be purchased with grant funds, please identify the following:

- Unit Cost - **do not** include taxes, shipping or handling in the unit cost column
- Quantity
- Unit Cost Total - Unit cost x Quantity
- Taxes
- Shipping/Handling
- Item Total Cost - Unit Cost Total + Taxes + Shipping/Handling
- Total cost to be charged to grant

Governing Body Resolution

BE IT RESOLVED BY THE _____
(Governing Body)

OF THE _____ ***THAT***
(Core City)

_____, ***OR***
(Name or Title of Authorized Agent)

_____, ***OR***
(Name or Title of Authorized Agent)

_____,
(Name or Title of Authorized Agent)

is hereby authorized to execute for and on behalf of the named core city, a public entity established under the laws of the State of California, any actions necessary for the purpose of obtaining federal financial assistance under Catalog of Federal Domestic Assistance number 16.011.

Passed and approved this _____ day of _____, 20_____

Certification

I, _____, duly appointed and
(Name)

_____ of the _____
(Title) (Governing Body)

do hereby certify that the above is a true and correct copy of a resolution passed and approved by

the _____ of the _____ on the
(Governing body) (Core City)

_____ day of _____, 20_____.

(Official Position)

(Signature)

(Date)

Instruction Sheet for the Governing Body Resolution

Purpose The purpose of the Governing Body Resolution is to appoint individuals to act on the governing body's behalf.

Authorized Agent(s) The Governing Body Resolution allows for the appointment of individuals or positions. For each person or position appointed by the governing body, submit the following information, with the resolution, to OES on the core city's letterhead:

- | | |
|--|---|
| <input type="checkbox"/> Jurisdiction | <input type="checkbox"/> Telephone |
| <input type="checkbox"/> Grant Program | <input type="checkbox"/> Fax # |
| <input type="checkbox"/> Name | <input type="checkbox"/> Cell Phone # |
| <input type="checkbox"/> Title | <input type="checkbox"/> E-Mail Address |
| <input type="checkbox"/> Address | |
| <input type="checkbox"/> City | |
| <input type="checkbox"/> Zip Code | |
-

Authorized Agent Changes If the Governing Body Resolution identified authorized agents by position/title, a new Resolution is NOT needed when a change needs to be made. For new authorized agents, the core city need only submit authorized agent details as listed above.

If the Governing Body Resolution identified authorized agents by name, a new Resolution IS needed when a change needs to be made. For new authorized agents, the core city needs to submit to OES a new Resolution and authorized agent details as listed above.

Office of Homeland Security
Grant Assurances for Urban Area Security Initiative

Name of Core City: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone Number: (____) _____

Fax Number: (____) _____

E-Mail Address: _____

As the duly authorized representative of the applicant, I certify that the applicant named above:

1. Has the legal authority to apply for federal assistance, and has the institutional, managerial and financial capability to ensure proper planning, management and completion of the Urban Area Security Initiative grant.
2. Will assure that grant funds are only used for allowable, fair, and reasonable costs.
3. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the state, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or awarding agency directives.
4. Will provide progress reports and such other information as may be required by the Office of Homeland Security, Office of Emergency Services and/or the awarding agency.
5. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
6. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain for themselves or others, particularly those with whom they have family, business or other ties.
7. Will comply, if applicable, with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

8. Will comply with all federal statutes relating to nondiscrimination. These include but are not limited to:
 - a. Title VI of the Civil Rights Act of 1964 (P.L. 88-352), as amended, which prohibits discrimination on the basis of race, color or national origin;
 - b. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683 and 1685-1686), which prohibits discrimination on the basis of sex;
 - c. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794) which prohibits discrimination on the basis of handicaps;
 - d. The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107) which prohibits discrimination on the basis of age;
 - e. The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255) as amended, relating to nondiscrimination on the basis of drug abuse;
 - f. The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
 - g. §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records;
 - h. Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing;
 - i. Title 28, Code of Federal Regulations, Part 42, Subparts C, D, E and G;
 - j. Title 28, CFR, Part 35;
 - k. Any other nondiscrimination provisions in the specific statute(s) under which application for federal assistance is being made, and
 - l. The requirements on any other nondiscrimination statute(s) which may apply to the application.
9. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of federal or federally assisted programs. These requirements apply to all interested in real property acquired for project purposes regardless of federal participation in purchases.
10. Will comply, if applicable, with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following:
 - a. institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514;
 - b. notification of violating facilities pursuant to EO 11738;
 - c. protection of wetlands pursuant to EO 11990;
 - d. evaluation of flood hazards in floodplains in accordance with EO 11988;
 - e. assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.);
 - f. conformity of federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
 - g. protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and
 - h. protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq).
14. Will comply with Standardized Emergency Management System (SEMS) requirements as stated in the California Emergency Services Act, Government Code, Chapter 7 of Division 1 of Title 2, Section 8607.1(e) and CCR Title 19, Sections 2445, 2446, 2447 and 2448.
15. Has requested through the State of California, federal financial assistance to be used to perform eligible work approved in the applicant's application for federal assistance. Will, after the receipt of federal financial assistance, through the State of California, agree to the following:
 - a. Promptly return to the State of California all the funds received which exceed the approved, actual expenditures as accepted by the federal or state government.
 - b. In the event the approved amount of the grant is reduced, the reimbursement applicable to the amount of the reduction will be promptly refunded to the State of California.
 - c. Separately account for interest earned on grant funds, and will return all interest earned, in excess of \$100 per federal fiscal year.

16. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. Sections 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
17. Will comply with provisions of the Hatch Act (5 U.S.C. Sections 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with federal funds.
18. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
19. Will comply, if applicable, with the Laboratory Animal Welfare Act of 1966 (P. L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
20. Will comply with the minimum wage and maximum hour provisions of the Federal Fair Labor Standards Act (29 U.S.C. 201), as they apply to employees of institutions of higher education, hospitals, and other non-profit organizations.
21. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. Section 276a to 276a-7), the Copeland Act (40 U.S.C. Section 276c and 18 U.S.C. Sections 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. Sections 327-333), regarding labor standards for federally assisted construction subagreements.
22. Will not make any award or permit any award (subgrant or contract) to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549 and 12689, "Debarment and Suspension."
23. Agrees that:
 - a. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative agreement;
 - b. If any other funds than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or an employee of Congress, or employee of a Member of Congress in connection with the federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

- c. The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers including subgrants, contracts under grants and cooperative agreements, and subcontract(s) and that all sub recipients shall certify and disclose accordingly.
 - d. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.
24. Agrees that equipment acquired or obtained with grant funds:
- a. Will be made available under the California Disaster and Civil Defense Master Mutual Aid Agreement in consultation with representatives of the various fire, emergency medical, hazardous materials response services, and law enforcement agencies within the jurisdiction of the applicant.
 - b. Is consistent with needs as identified in the Terrorism Annex to the State's Emergency Plan, and will be deployed in conformance with that plan.
 - c. Will be made available pursuant to applicable terms of the California Disaster and Civil Defense Master Mutual Aid Agreement and deployed with personnel trained in the use of such equipment in a manner consistent with the California Law Enforcement Mutual Aid Plan or the California Fire Services and Rescue Mutual Aid Plan.
25. Agrees that funds awarded under this grant will be used to supplement existing funds for program activities, and will not supplant (replace) non-federal funds.
26. Will comply with all applicable Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars A-87 and A-133, E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements contained in Title 28, Code of Federal Regulations, Part 66, that govern the application, acceptance and use of Federal funds for this federally-assisted project.
27. Will comply, and assure the compliance of all its subgrantees and contractors, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provision of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1, and all other applicable Federal laws, orders, circulars, or regulations.

28. Will comply with provisions of 28 CFR applicable to grants and cooperative agreements, including Part 18, Administrative Review Procedures; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunities Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 64, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
29. Will ensure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of this project are not listed in the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal Grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
30. Will comply with Subtitle A, Title II of the Americans with Disabilities Act (ADA) 1990.
31. Will, in the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds or race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office of Civil Rights, Office of Justice Programs.
32. Will provide an Equal Employment Opportunity Plan, if applicable, to the Department of Justice Office of Civil Rights within 60 days of grant award.
33. Will comply with the financial and administrative requirements set forth in the current edition of the Office of Justice Programs (OJP) Financial Guide.
34. Will comply, if applicable, with the provision of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.
35. Will comply with all applicable requirements of all other federal laws, executive orders, regulations, program and administrative requirements, policies and any other requirements governing this program.

36. Understands that failure to comply with any of the above assurances may result in suspension, termination or reduction of grant funds.

The undersigned represents that he/she is authorized by the above named applicant to enter into this agreement for and on behalf of the said applicant.

Signature of Authorized Agent:_____

Printed Name of Authorized Agent:_____

Title:_____ Date:_____

Office of Homeland Security – Urban Area Security Initiative II Grant Program
Award # _____

Reimbursement Request Form

Mail Reimbursement Request to:

Core City: _____

Office of Homeland Security
c/o Governor's Office of Emergency Services
Grant Payments Unit
Post Office Box 419023
Rancho Cordova, CA 95741-9023

OES ID# _____

Please mark this box to indicate a change in
the Authorized Agent Mailing Address
below ☐

Type of Expenditures	Expenditures to date	Reimbursement Request for the period of _____ to _____
Equipment	\$	\$
Exercise	\$	\$
Training	\$	\$
Planning	\$	\$
Management & Administration	\$	\$
Operational Activities	\$	\$
Total	\$	\$

Under penalty of perjury, I certify that:

- I am the duly authorized agent of the core city named above
- This claim is in all respects true, correct, and all expenditures were made in accordance with applicable laws, rules, regulations and grant conditions and assurances
- This claim is for costs incurred within the Grant Performance Period

Authorized Agent (Per Governing Body Resolution)

Printed Name

Phone No.

Title

E-Mail Address

Mailing Address

Fax No.

City, State, Zip Code

Signature

Date

Office of Homeland Security – Urban Area Security Initiative II Grant Program
Instruction Sheet for Reimbursement Request Form – Phase 1

Award #	The award # can be found on the application for assistance
Applicant	The applicant is the entity, as identified in the original grant application. Do not identify any sub-departments or offices as the applicant
OES ID #	This is the applicant's identification number as identified on the notification of application approval
Address Changes	Indicate a change in address by checking the box shown and noting the new address in the area marked "mailing address"
Type of Expenditures	The type of expenditures and approved funding amounts are identified on the Application for Assistance
Expenditures To Date	Identify total grant expenditures incurred to date for each type of expenditure
Reimbursement Request for the Period of:	The applicant may request reimbursement of all, or a portion of, <i>Grant Expenditures incurred since the last Reimbursement Request</i> . Indicate the month and year for the beginning of the period covered to the end of the period covered during which these expenditures were incurred. <i>This is not the Project/Budget Period listed on the subgrant. This request period cannot cross state fiscal years. Therefore, separate requests Must be submitted for expenditures incurred on or before June 30, and on or after July 1</i>
Authorized Agent Information	Complete all line items requested and ensure that the form is signed by an Authorized Agent named in the Governing Body Resolution
Mail	Mail the original to the address identified at the top of the request form
Supporting Documents	Supporting documents are not required to be submitted with the Reimbursement Request; however, Office of Homeland Security reserves the right to request documentation at any time. Applicants are reminded to maintain documents that support the expenditures and reimbursement amounts shown on the request.

Appendix E – Office of Civil Rights July 29, 2002 letter



U.S. Department of Justice
Office of Justice Programs
Office for Civil Rights

Washington, D.C. 20531

July 29, 2002

Mr. Dallas Jones
California Office of Emergency Services
P. O. Box 419047
Rancho Cordova, CA 95741-9047

Dear Mr. Jones:

Congratulations on your recent award. Because you have submitted Certified Assurances that your agency is in compliance with applicable civil rights laws, this office has determined that you have met this requirement in the Department of Justice regulations governing recipients of Federal financial assistance (see 28 C.F.R. section 42.204, Applicants' Obligations). As Director of the Office for Civil Rights (OCR), Office of Justice Programs, I would like to offer you my assistance in completing the conditions of these Assurances, specifically Nos. 13, 14, and 15, as the grant goes forward.

As you know, equal opportunity for the participation of women and minority individuals in employment and services provided under programs and activities receiving Federal financial assistance is required by law. Therefore, if there has been a federal or state court or administrative agency finding of discrimination against your agency, please forward a copy of such order or consent decree, as required by Assurance No. 14, to OCR at the U.S. Department of Justice, Office of Justice Programs, Office for Civil Rights, 810 Seventh Street, N.W., Room 8136, Washington, D.C. 20531.

Additional Instructions For Grantees Receiving \$500,000 Or More:

1. In accordance with Assurance No. 15, each grantee that receives \$500,000 or more (or \$1,000,000 in an 18-month period), and has 50 or more employees, must **submit** an Equal Employment Opportunity Plan (EEOP) within 60 days from the date of this letter to OCR at the above address.¹
2. Alternatively, the grantee may choose to complete an EEOP Short Form, in lieu of sending its own comprehensive EEOP, and return it to OCR within 60 days of the date of this letter. This easy-to-follow EEOP Short Form reduces paperwork and preparation time considerably and will ensure a quicker OCR review and approval. The Seven-Step Guide to the Design and Development of an EEOP will assist you in completing this requirement. The Seven-Step Guide and EEOP Short Form may be downloaded from OCR's home page on the Internet (<http://www.ojp.usdoj.gov/ocr/>).
3. Please be reminded that the above requirements apply to primary grantees and to each of their subgrantees or contractors that meet the criteria outlined in this letter. Therefore, all primary grantees should apprise subgrantees of these responsibilities and those meeting the criteria should send their EEOPs or EEOP Short Forms directly to the Office for Civil Rights within 60 days of the date of their award.

¹ If you have already submitted an EEOP as part of another award from the Office of Justice Programs (OJP) or the Office of Community Oriented Policing Services (COPS) within the past two years, or if you have certified that no EEOP is required, it is not necessary for you to submit another at this time. Simply send a copy of the letter you received from OCR showing that your EEOP or certification is acceptable along with a cover letter that references the new grant award.

rec'd 8/16/02

NOTE: If agency has under 50 employees, regardless of amount of award, no EEOP is required; however, grantee must return applicable portion of Certification Form to OCR within 60 days. This Certification Form may also be downloaded from OCR's home page on the Internet.

PURSUANT TO THE SPECIAL CONDITION REGARDING EEOPs GOVERNING THIS AWARD, RECIPIENT ACKNOWLEDGES THAT FAILURE TO SUBMIT AN ACCEPTABLE EEOP IS A VIOLATION OF ITS CERTIFIED ASSURANCES AND MAY RESULT IN SUSPENSION OF DRAWDOWN OF FUNDS UNTIL EEOP HAS BEEN APPROVED BY THE OFFICE FOR CIVIL RIGHTS.

Additional Instructions For Grantees Receiving \$25,000 Or More, But Under \$500,000:

4. Pursuant to Department of Justice regulations, each grantee that receives \$25,000 or more and has 50 or more employees is required to maintain an Equal Employment Opportunity Plan (EEOP) on file for review by OCR upon request. (However, if the grantee is awarded \$1,000,000 in an eighteen (18) month period, it must submit an acceptable EEOP to OCR.) Please complete the applicable section of the Certification Form and return it to OCR within 60 days of the date of this letter.

NOTE: If agency has under 50 employees, regardless of amount of award, no EEOP is required; however, grantee must return applicable portion of Certification Form to OCR within 60 days.

Additional Instructions For Grantees Receiving Under \$25,000:

5. A recipient of under \$25,000 is not required to maintain or submit an Equal Employment Opportunity Plan (EEOP) in accordance with Assurance No. 15. No Certification is required.

Instructions for All Grantees:

6. In addition, all recipients, regardless of their type, the monetary amount awarded, or the number of employees in their workforce, are subject to the prohibitions against discrimination in any funded program or activity. Therefore, OCR investigates complaints by individuals or groups alleging discrimination by a recipient of OJP funding, and may require all recipients, through selected compliance reviews, to submit data to ensure their services are delivered in an equitable manner to all segments of the service population and their employment practices are in compliance with equal employment opportunity requirements.²

If you have any questions, please call OCR at (202) 307-0690. Additional information and technical assistance on the civil rights obligations of grantees can be found at: <http://www.ojp.usdoj.gov/ocr/>.

Sincerely,



Michael L. Alston
Acting Director, Office for Civil Rights

cc: Grant Manager
Financial Analyst

²The employment practices of certain Indian tribes are not covered by Title VII of the Civil Rights Act of 1964, 42 U.S.C. section 2000e

Appendix F – Abbreviations and Acronyms

AAR	After Action Report
CAP	Corrective Action Plan
CBRNE	Chemical, Biological, Radiological, Nuclear and Explosive
CFR	Code of Federal Regulations
DHS	United States Department of Homeland Security
DOE	United States Department of Energy
DOJ	United States Department of Justice
EEOP	Equal Employment Opportunity Plan
FFY	Federal Fiscal Year
FOIA	Freedom of Information Act
FY	Fiscal Year
HSEEP	Homeland Security Exercise and Evaluation Program
OCR	United States Department of Justice, Office of Civil Rights
ODP	United States Department of Justice, Office of Justice Planning, Office for Domestic Preparedness
OES	California Governor's Office of Emergency Services
OHS	California Office of Homeland Security
OIG	United States Department of Justice, Office of Inspector General
OJP	United States Department of Justice, Office of Justice Planning
OMB	United States Office of Management and Budget
PPE	Personal Protective Equipment
UASI	Urban Area Security Initiative
WMD	Weapons of Mass Destruction